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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/998,893	11/30/2001	Richard P. Sinn	021756-012800US	4150
51206 7590 11/08/2010 TOWNSEND AND TOWNSEND AND CREW LLP/ORACLE TWO EMBARCADERO CENTER 8TH FLOOR SAN FRANCISCO, CA 94111-3834			EXAMINER TESLOVICH, TAMARA	
			ART UNIT 2437	PAPER NUMBER
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**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 09/998,893	<b>Applicant(s)</b> SINN ET AL.	
	<b>Examiner</b> Tamara Teslovich	<b>Art Unit</b> 2437	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 13 September 2010.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1,7,9-14,16,20-25,27,31-36 and 53-57 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1,7,9-14,16,20-25,27,31-36 and 53-57 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>9/22/10</u> . | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on September 13, 2010 has been entered.

Claims 1, 7, 9-14, 16, 20-25, 27, 31-36, and 53-57 are pending and herein considered.

### ***Response to Arguments***

Applicant's arguments with respect to claims 1, 7, 9-14, 16, 20-25, 27, 31-36, and 53-57 have been considered but are moot in view of the new ground(s) of rejection.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

**Claims 1, 7, 9-14, 16, 20-25, 27, 31-36, and 53-57 are rejected under 35 U.S.C. 102(e) as being anticipated by Win et al., US 6,161,139, filed 02/12/1999.**

As per **claim 1**, Win teaches a method comprising:

associating each workflow of a plurality of workflows with a corresponding domain of a plurality of domains in an identity system, each domain of said plurality of domains comprising one or more entities and each workflow of said plurality of workflows (Win, col.17, lines 35-44; displaying task for modifying user profile and selecting “modifying” function) using a difference predefined set of steps to perform certificate related action wherein each workflow in said plurality of workflows corresponds to a different set of characteristics for a user, wherein the first workflow contains a first set of steps and a second workflow in said plurality of workflows contains a second set of steps wherein said first set of steps is different from said second set of steps, wherein said first workflow calls for obtaining an approval before performing a certificate related action for users having a first user type (Win, col.12, line 65 – col.13, line 11; col.13, lines 58-60; modifying user profile, said user profile comprising information for determining access rights to resources), and herein said second workflow does not call for obtaining an approval before performing a certificate related action for users having a second user type (Win, col.13, lines 58-60; col.15, lines 15-27 “associating user types with users”);

receiving at the Identity System a request for a first certificate related action for a first user wherein the certificate related action is selected from a group consisting of a

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certificate enrollment action, a certificate renewal action, and a certificate revocation action (Win, col.12, line 65 – col.13, line 11; col.16, TABLE 1; administrator requests for creating/modifying user profile);

determining from said plurality of domains, a domain that includes said user;

determining from said plurality of workflows, one or more workflows associated with said domain and capable of performing said certificate related action (Win, col.17, lines 35-44; displaying task for modifying user profile and selecting “modifying” function);

retrieving by the Identity System from said one or more workflows associated with said domain a first workflow for responding to said request wherein retrieving the first workflow comprises selecting the first workflow from the one or more workflows associated with said domain based on the first certificate related action and a user type of the first user from a set of characteristics for the first user from an identity profile for the first user maintained by the Identity System being the first user type and wherein the request includes an identification of said identity profile for the first user (Win, col.13, lines 58-60; TABLE 1);

performing said first workflow, wherein performing said first workflow comprises executing said predefined set of steps of said first workflow to perform said certificate relates action (Win, col.13, lines 58-60; “Creating profiles involves associating roles with resources and users, as well as associating user types with users”) including retrieving an approval response from an entity associated with the first user and identified in the identity profile for the first user and obtaining a certificate and a real time status for the

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certificate from a certificate authority based on the approval response (Win, col.12, line 65 – col.13, line 11; col.13, lines 58-60; modifying user profile, said user profile comprising information for determining access rights to resources); and

storing the certificate and said real time status in the Identity system, wherein the certificate authority is external to the Identity system (Win, col.4 lines 29-45 “Registry Server”).

As per **claim 7**, Win discloses receiving said plurality of workflows (Win, col.17, lines 35-44; displaying task for modifying user profile and selecting “modifying” function).

As per **claim 9**, Win discloses

receiving at the identity system a second request for a second certificate related action for a second user wherein the second certificate related action is selected from a group consisting of a certificate enrollment action, a certificate renewal action, and a certificate revocation action, determining by the Identity System from said plurality of domains a domain that includes said second user, determining by the Identity System from said plurality of workflows, one or more workflows associated with said domain that includes said second user and capable of performing said second certificate related action; retrieving by the Identity System from said one or more workflows associated with said domain that includes the second user a second workflow for responding to said second request wherein retrieving the second workflow further comprises selecting

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the second workflow from the one or more workflows associated with said domain that includes said second user based on the second certificate related action and a user type of the second user from a set of characteristics for the second user from an identity profile for the second user maintained by the Identity System being the second user type and wherein the second request includes an identification of said identity profile for the second user and performing said second workflow wherein performing said second workflow comprises executing said predefined set of steps of said second workflow to perform said certificate relates action including obtaining a second certificate without retrieving an approval response (Win col.4 lines 11-45 teaches multiple users, networks, and servers organized in such a manner that security is maintained while providing access to authorized users to resources).

As per **claim 10**, Win disclose wherein said first certificate related action is a certificate enrollment action and said second certificate related action is a certificate enrollment action (Win col.10 lines 27-63 cookie).

As per **claim 11**, Win discloses wherein said first certificate related action is a certificate renewal action and said second certificate related action is a certificate renewal action (Win col.10 lines 27-63 cookie).

As per **claim 12**, Win discloses performing said first workflow, wherein said first certificate related action is a certificate enrollment action and wherein performing said

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first workflow comprises obtaining a certificate, wherein obtaining the certificate comprises authenticating said first user, forwarding said request to a Certificate Processing Server, receiving said certificate, and storing said certificate (col.5 line 65 - col.6 line 9; col.6 lines 20-33; col.10 lines 27-63 cookie).

As per **claim 13**, Win discloses performing said first workflow, wherein said certificate related action is a certificate renewal action and wherein performing said first workflow comprises obtaining a certificate renewal, wherein obtaining the certificate renewal comprises authenticating said first user, forwarding said request to a Certificate Processing Server, and receiving a certificate renewal acknowledgement (col.5 line 65 - col.6 line 9; col.6 lines 20-33; col.10 lines 27-63 cookie).

As per **claim 14**, Win discloses performing said first workflow, wherein said certificate related action is a certificate revocation action and wherein performing said first workflow comprises revoking a certificate, wherein revoking the certificate comprises authenticating said first user, and forwarding said request to a Certificate Processing Server (col.5 line 65 - col.6 line 9; col.6 lines 20-33; col.10 lines 27-63 "cookie expiration timers").

**Claim 16** is directed towards a system's implementation of the method of claim 1 and is rejected by similar rationale.



**Claim 20** is directed towards a system's implementation of the method of claim 7 and is rejected by similar rationale.

**Claims 21 and 22** are directed towards a system's implementation of the method of claims 9 and 10 and are rejected by similar rationale.

**Claims 23-25** are directed towards a system's implementation of the method of claims 12-14 and are rejected by similar rationale.

**Claim 27** is directed towards an apparatus' implementation of the method of claim 1 and is rejected by similar rationale.

**Claim 31** is directed towards an apparatus' implementation of the method of claim 7 and is rejected by similar rationale.

**Claims 32 and 33** are directed towards an apparatus' implementation of the method of claims 9 and 10 and are rejected by similar rationale.

**Claims 34-36** are directed towards an apparatus' implementation of the method of claims 12-14 and are rejected by similar rationale.

As per **claim 53**, Win discloses applying a Lightweight Directory Access protocol (LDAP) filter to attributes of the identity profile for the first user (Win col.12 lines 30-42).

As per **claim 54**, Win discloses wherein the entity associated with the first user comprises a third user (Win col.4 lines 11-45 teaches multiple users, networks, and servers organized in such a manner that security is maintained while providing access to authorized users to resources; col.5 lines 1-35 “roles” and the relationships therebetween).

As per **claim 55**, Win discloses storing validation information for said certificate in the Identity System, wherein said validation information includes an identifier of a time said real time status was retrieved and a validation interval for said real time status; receiving at the Identity System a request to export the certificate; determining with the Identity System whether to check a status for said certificate, wherein determining whether to check the status for the certificate comprises querying a parameter field in the Identity System; and in response to determining to check the status for said certificate, determining with the Identity System whether to check the status for the certificate in real time comprises querying a parameter field in the Identity System (Win col.10 lines 50-62 “expiration timer”).

**Claim 56** is directed towards a system’s implementation of the method of claim 55 and is rejected by similar rationale.

**Claim 57** is directed towards an apparatus' implementation of the method of claim 55 and is rejected by similar rationale.

### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tamara Teslovich whose telephone number is (571) 272-4241. The examiner can normally be reached on Mon-Fri 8-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel Moise can be reached on (571) 272-3865. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Tamara Teslovich/

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Examiner, Art Unit 2437

/Emmanuel L. Moise/

Supervisory Patent Examiner, Art Unit 2437